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PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 02949.P019

(maximum 12 characters)

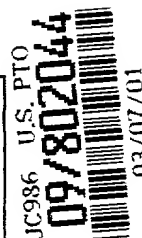
First Named Inventor Roland WeitkampTitle: CONTROL SYSTEM FOR A WIND POWER PLANTExpress Mail Label No. EL 672 748 267 US

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, D. C. 20231

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. X **Fee Transmittal Form (e.g., PTO/SB/17)**
(Submit an original, and a duplicate for fee processing)
2. **Applicant Claims Small Entity Status. (37 CFR 1.27)**
3. X **Specification (Total Pages 16)**
(preferred arrangement set forth below)
 - Descriptive Title of the Invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference sequence listing, a table,
or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. X **Drawings(s) (35 USC 113) (Total Sheets 1)**
5. X **Oath or Declaration (Total Pages 5)**
 - a. Newly Executed (Original or Copy)
 - b. Copy from a Prior Application (37 CFR 1.63(d))
(for Continuation/Divisional with Box 17 completed)
 - i. **DELETIONS OF INVENTOR(S)** Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
 - c. Unsigned.
6. **Application Data Sheet. (37 CFR 1.76)**
7. **CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)**
8. **Nucleotide and/or Amino Acid Sequence Submission**
(if applicable, all necessary)
 - a. **Computer Readable Form (CRF)**
 - b. **Specification Sequence Listing on:**
 - i. **CD-ROM or CD-R (2 copies); or**
 - ii. **paper**
 - c. **Statement verifying identity of above copies**



ACCOMPANYING APPLICATION PARTS

9. ☐ **Assignment Papers (cover sheet & documents(s))**
10. ☐ a. Separate 37 CFR 3.73(b) Statement (where there is an assignee)
10. ☐ b. Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ a. Information Disclosure Statement (IDS)/PTO-1449
12. ☐ b. Copies of IDS Citations
13. ☐ **Preliminary Amendment**
14. ☒ **Return Receipt Postcard (MPEP 503) (Should be specifically itemized)**
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ **Request and Certification under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.**
17. ☐ Other: _____

18A. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)
Of Prior Application No.: _____ **Examiner** _____ **Group Art Unit** _____
 (which is a ☐ continuation/ ☐ divisional/ ☐ CIP of prior application no. _____,
 which is a ☐ continuation/ ☐ divisional/ ☐ CIP of prior application no. _____) (List entire chain of priority)

Applicant(s): Also include a Preliminary Amendment to amend the specification to claim priority.
For CONTINUATION AND DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18B. Statement under 37 CFR 3.73(b) for continuing application:

The undersigned states that _____ (name of assignee) is
 the assignee of the entire right, title, and interest in the accompanying patent application by virtue of an
 assignment recorded in the Patent and Trademark Office at Reel. No. _____ Frame No. _____
 (or a copy of which is attached).

19. Correspondence Address

Customer Number or Bar Code Label _____
 or _____ (Insert Customer No. or Attach Bar Code Label here)

☒ Correspondence Address Below

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Name (PRINT/TYPE): Michael J. Mallie **Registration No.:** 36,591
Signature:  **Date:** March 7, 2001

EXPRESS MAIL CERTIFICATE OF MAILING

"Express Mail" mailing label number: EL 672 748 267 US

Date of Deposit: March 7, 2001

I hereby certify that I am causing this paper or fee to be deposited with the United States Postal Service "Express Mail Post Office to Addressee" service on the date indicated above and that this paper or fee has been addressed to the Assistant Commissioner for Patents, Washington, D. C. 20231

Angela M. Quinn
(Typed or printed name of person mailing paper or fee)

Angela M. Quinn
(Signature of person mailing paper or fee)

March 7, 2001

(Date signed)

Serial/Patent No.: *** Filing/Issue Date: ***
Client: Enron Wind Energy Systems
Title: CONTROL SYSTEM FOR A WIND POWER PLANT

BSTZ File No.: 02949.P019 Atty/Secty Initials: MJM/amq
Date Mailed: 3/7/01 Docket Due Date: ***

The following has been received in the U.S. Patent & Trademark Office on the date stamped hereon:

- | | |
|---|---|
| <input type="checkbox"/> Amendment/Response (____ pgs) | <input checked="" type="checkbox"/> Express Mail No. <u>EL672748267US</u> Check No. <u>41349</u> |
| <input type="checkbox"/> Appeal Brief (____ pgs) (in triplicate) | <input type="checkbox"/> _____ Month(s) Extension of Time Amt <u>710.00</u> |
| <input checked="" type="checkbox"/> Application - Utility (<u>16</u> pgs, with cover and abstract) | <input type="checkbox"/> Information Disclosure Statement & PTO-449 (____ pgs) <input type="checkbox"/> Check No. _____ |
| <input type="checkbox"/> Application - Rule 1.53(b) Continuation (____ pgs) | <input type="checkbox"/> Issue Fee Transmittal Amt _____ |
| <input type="checkbox"/> Application - Rule 1.53(b) Divisional (____ pgs) | <input type="checkbox"/> Notice of Appeal |
| <input type="checkbox"/> Application - Rule 1.53(b) CIP (____ pgs) | <input type="checkbox"/> Petition for Extension of Time |
| <input type="checkbox"/> Application - Rule 1.53(d) CPA Transmittal (____ pgs) | <input type="checkbox"/> Petition for _____ |
| <input type="checkbox"/> Application - Design (____ pgs) | <input checked="" type="checkbox"/> Postcard |
| <input type="checkbox"/> Application - PCT (____ pgs) | <input type="checkbox"/> Power of Attorney (____ pgs) |
| <input type="checkbox"/> Application - Provisional (____ pgs) | <input type="checkbox"/> Preliminary Amendment (____ pgs) |
| <input type="checkbox"/> Assignment and Cover Sheet | <input type="checkbox"/> Reply Brief (____ pgs) |
| <input checked="" type="checkbox"/> Certificate of Mailing | <input type="checkbox"/> Response to Notice of Missing Parts |
| <input checked="" type="checkbox"/> Declaration & POA (<u>15</u> pgs) (unsigned) | <input type="checkbox"/> Small Entity Declaration for Indep Inventor/Small Business |
| <input type="checkbox"/> Disclosure Docs & Orig & Copy of Invention Signed Letter (____ pgs) | <input checked="" type="checkbox"/> Transmittal Letter, <u>XXXXXX</u> |
| <input checked="" type="checkbox"/> Drawings: <u>1</u> # of sheets includes <u>1</u> figures | <input checked="" type="checkbox"/> Fee Transmittal, in duplicate |

☐ Other: _____